

Disciplinary Process  
 CAO through Supreme Court  
 Record Retention Plan  
 Updated 10-20-06

Type of Record	Description	Retention Period	Person Responsible	Format	Location
Database – Permanent	CAO – None DCO – Same as retention period GCO – DB Clerk information				Server
Database – Not Permanent	CAO – Same as retention period DCO – Same as retention period				Server
CAO Contact	Numbered in database Does not name lawyer Written documents	1 year	CAO	Hard copy	On-site

Type of Record	Description	Retention Period	Person Responsible	Format	Location
CAO Inquiry Attorney name added Dismissed (can include appeal to General Counsel and then dismissed)	Numbered in database	3 years	CAO	Electronic	Server
CAO Investigation	Same as inquiry Investigative material Dismissed (can include appeal to General Counsel and then dismissed)	3 years	CAO	Electronic	Server
CAO File	File sent to DCO	No paper (CAO) Electronic – 1 year (CAO)		Electronic	Office
DCO Investigation	File from CAO Dismissed by staff or after complainant appeals to SPRB and SPRB upholds dismissal	10 years	DCO	Electronic	Server

Type of Record	Description	Retention Period	Person Responsible	Format	Location
DCO Investigation	Formal complaint filed by SPRB. Dismissed by SPRB after formal complaint filed	Permanent	DCO	Electronic	Server
DCO Formal Actions	Files resulting in admonition, stipulation for discipline, probation, Form B resignation, diversion, or from BR 3.1, 3.2, 3.4, and 3.5) (Admonitions duplicated in admonitions electronic file)	Permanent	DCO	Electronic	Server

Type of Record	Description	Retention Period	Person Responsible	Format	Location
Disciplinary Prosecutions	DCO material removed to avoid duplicate material received from DB Clerk All material received by DB Clerk's Office Supreme Court Opinion. (Trial panel opinions will be duplicated in Disciplinary Board Reporter. Supreme Court opinions also found in Oregon Reports)	Permanent	DCO for all material including DB Clerk material after final disposition	Electronic	Server
Deceased member files	Prosecutions: Trial panel opinions, briefs only, and Supreme Court Opinion only	Permanent		Electronic	Server

<b>Type of Record</b>	<b>Description</b>	<b>Retention Period</b>	<b>Person Responsible</b>	<b>Format</b>	<b>Location</b>
Deceased member files	Dismissed complaints: CAO and DCO	Database and paper files: family notified of any material they may wish to keep and then the rest purged six months after death	CAO and DCO	Electronic and Database	Server
Deceased member files	Formal actions (see above). Final disposition documents only	Permanent		Electronic	Server and Database